PART ONE: AREA PLAN BACKGROUND

SECTION A: SETTING THE STAGE

1. DESCRIPTION OF THE PLANNING AND SERVICE AREA

□ <u>Updates</u>: Any changes in the Required Content of this section must be included in the annual Updates.

a. Purpose:

The purpose of this section is to provide the public with a clear, readable introduction to the (PSA) and its service network. The intent of this section is to provide an accurate and interesting description of the characteristics of the PSA and the setting in which planning for a community-based system of care is undertaken. This is an opportunity to provide the public with a view of the PSA, as well as to provide a basis for good planning.

b. Required Content: &

As required in the California Code of Regulations (CCR) Article 3, Section 7302 (a) (1), this section must include the following:

- A brief description of the physical characteristics of the PSA.
- A description of the demographic characteristics of the PSA, including a
 description of the number and proportion of the potential client population who
 are in greatest social and economic need and are low-income minority
 individuals. (See Part One Section B Targeting)
- A description of the unique resources and constraints existing within the PSA.
- A broad description of the existing service system within the PSA to set the stage for subsequent discussions of goals. AAAs are encouraged to document challenges and successes in local system/program development. This section includes the following:
 - Characteristics of the service system for the entire PSA;
 - Elements of the service system of the PSA, including any local coordination efforts, local/regional development of and/or AAA participation in task forces and boards, and community participation; and
 - Ways that agencies work together to provide services in the PSA.

The AAA's narrative responses to this section must specifically address the following questions to meet the "Required Content" listed above:

- What are the physical characteristics of the PSA?
- What are the geographic boundaries of the PSA?
- What are the PSA's geographical characteristics?
- Is this a single or multi-county PSA?
- What is the impact of these characteristics on planning considerations?
- What are the demographic characteristics of the PSA?
- What are the number and proportion of older individuals, family caregivers, and individuals with functional impairments?
- What is the racial/ethnic composition of these groups within the PSA?
- What is the economic status of these groups within the PSA?
- What number and proportion of the potential client population is in greatest economic need, greatest social need, or both?
- What number and proportion of the potential client population are low-income, minority individuals?
- What number and proportion of the potential client population resides in rural areas?
- What number and proportion of the potential client population has limited English-speaking abilities?
- What number and proportion of the potential client population has severe disabilities?
- What are the PSA's resources and constraints? Discussion points <u>may</u> include:
 - Geography and its influence on access;
 - The absence or presence of employment opportunities;

- The absence or presence of sources of grant/tax revenue;
- The impact of state and/or county budget changes;
- The impact of local disasters; and
- What significant accomplishments have influenced the service delivery system in your PSA? Are these accomplishments consistent with your mission statement?

d. Optional Questions Related to the Family Caregiver Support Program:

- What number and proportion of children live in a household headed by a grandparent?
- What estimated number of older individuals are relative caregivers for children?
- What estimated number of these children is developmentally disabled?
- What estimated number of older individuals with a developmental disability lives with a family caregiver?
- What estimated number of older individuals could leave a long-term care facility if services were available for their family caregiver?

2. DESCRIPTION OF THE AREA AGENCY ON AGING

<u>Updates</u>: Any changes in the Required Content of this section must be included in the annual Updates.

a. Purpose:

The purpose of this section is to impart to the public an understanding of the responsibilities of the AAA to provide leadership in addressing issues that relate to older Californians and their caregivers, to develop community-based systems of care to support the independence and protect the quality of life of older persons and persons with functional impairments; and to promote citizen involvement in the planning and delivery of services.

b. Required Content: 🔊

As required in the CCR Article 3, Section 7302, this section must include the following:

A description of the characteristics of the AAA.

- A Mission Statement.
- A <u>current</u> Organization Chart that includes a narrative description of any imminent/recent changes in the structure and/or placement of the AAA, if applicable. (See Appendix IX Exhibit A Sample Organization Charts) An annual update is required for changes in AAA structure or staff time.
- A description of how the AAA provides a visible presence and leadership in the development of community-based systems of care. This is the essence of the AAA and its meaning to the community, i.e., how does the AAA make a difference in the lives of persons served as well as the community?
- The AAA type, such as Public, Private Non-Profit, or Joint Powers.
- The AAA's funding sources.

The AAA's narrative responses to this section must specifically address the following questions to meet the "Required Content" listed above:

- What are the characteristics of the AAA?
 - o What are the strengths and weaknesses of the AAA structure?
 - o What AAA committees or boards are in place?
 - o What is the policy setting process?
- What is the AAA's leadership role?
 - What specific activities and outcomes have taken place that exemplify this leadership role?
 - What, if any, leadership challenges are anticipated during this planning cycle?
 - What is the function of the governing Board and the Advisory Council in supporting the leadership role of the AAA in the community?

The Code of Federal Regulations [45 CFR] 1321.53(b) lists the following as characteristics of "a comprehensive and coordinated community-based system." Discuss the presence or absence of these factors in the present system when discussing how the AAA provides leadership in developing systems of care:

- 1. There is a visible point of contact where anyone can go or call for help or information.
- 2. A range of program and service options are available.
- 3. Service options are accessible to all older individuals and others served by AAA programs, regardless of income or level of dependency.
- 4. The system is supported by a commitment of public, private, voluntary, and personal resources.
- 5. There is collaborative decision-making among all concerned organizations and older individuals and other individuals using disabled and older adult services.
- 6. Special help or resources are available for the most vulnerable those in danger of losing their independence.
- 7. Effective agency-to-agency referral and follow-up is provided.
- 8. There is sufficient flexibility in the service delivery system to provide appropriate individualized assistance.
- 9. The system is tailored to the nature of the community.
- 10. The system is directed by leaders with the stature and ability to:
 - Convene all interested individuals;
 - Assess needs;
 - Design solutions;
 - Track successes:
 - Stimulate change; and
 - Plan present and future community responses.

3. MISSION STATEMENT

<u>□ Updates</u>: Any changes in the AAA's Mission Statement must be included in the annual Updates.

a. Purpose:

To make clear the reasons for the AAA's existence and its purpose in the community.

b. Required Content: &

Core Mission Statement (next page)

As required in the CCR Article 3, Section 7302, the Mission Statement, at a **minimum**, shall include the following statement:

To provide leadership in addressing issues that relate to older Californians; to develop community-based systems of care that provide services which support independence within California's interdependent society, and which protect the quality of life of older persons and persons with functional impairments; and to promote citizen involvement in the planning and delivery of services.

In addition to the above statement, the AAA is encouraged to include its own mission statement in the Area Plan.

4. ORGANIZATION CHARTS

☐ <u>Updates</u>: Any changes in the Required Content of the Organization Chart(s) must be included in the annual Updates.

a. Purpose:

To provide information on the AAA organizational structure and the placement of staff within the organization.

b. Required Content: &

All current organization charts must be included in this section. The CCR Article 3, Section 7302 requires a description of the AAA that shall include a current organization chart that:

- Describes the relationship of the AAA and its placement within a larger organizational structure, such as a division of a county agency, if applicable.
 If there are imminent changes planned in the structure and/or placement of the AAA, these must be noted on the chart.
- Lists the agency type, such as: Public, Private Non-Profit, or Joint Powers.

 Provides a percentage of time spent in AAA activities for each position shown that is consistent with the information provided in the Area Plan Budget, Schedule of Paid and In-Kind Personnel Costs. [CCR, Section 7318(h)]

c. Location of Sample Organization Charts:

See Appendix IX Resource Tool Exhibit A:

- <u>A.1 City/County Chart</u>: Sample Chart A1 is for use by AAAs within county or other governmental structures.
- <u>A.2 AAA Chart</u>: Sample Chart A2 is for use by Private, Non-Profit, and Joint Powers AAAs.

SECTION B: ESTABLISHING PRIORITIES

1. THE PLANNING PROCESS

<u>Updates</u>: Any change in the Required Content of this section must be included in the annual Updates.

a. Purpose:

The purpose of this section is to provide an overview of how a AAA conducts its planning process, including the opportunities available for public involvement in that process.

In addition to providing information about the overall planning process undertaken by the AAA, this section of the Area Plan provides the opportunity to describe how the process meets the requirements for public input. Submission of Appendix II Public Hearings, is also required by the CCR Article 3, Section 7302(a).

b. Required Content: &

This section must include discussion of the steps involved in the planning process and describe how these steps were followed. Particular attention must be paid to the mechanisms used to assure the involvement of the public, including providing the public with information about the planning process, and how they can become involved.

c. Questions:

The AAA's narrative responses to this section must specifically address the following questions to meet the "Required Content" listed above:

- In general, what needs assessment processes were employed, what were the findings and how were they addressed in the plan?
- How does the planning process reflect the AAA's efforts to include programs and services funded by a variety of sources, including those that are available for AAA use?
- What are the major areas to be addressed through the planning process?
- Who is responsible for what aspects of the process? Include a description of standing committees, ad hoc planning groups, project teams, and their purpose and composition.

- What is the involvement of the Governing Board and the Advisory Council in the planning process?
- How does the planning process provide for:
 - Soliciting input from individuals within the PSA, including data gathered by Information and Assistance Programs?
 - Soliciting collaborative input from other service agencies, health providers, and employee assistance programs to obtain "buy-in" and joint sponsorship?
 - Making other public entities (e.g., boards of supervisors, city councils, service groups, organizations, churches, etc.) aware of senior service needs in the PSA?

Initiating outreach and public information efforts to inform the community about what the AAA is and does, how it relates to and serves the community, and the significance of the Area Plan?

- Expanding the involvement of individuals and groups from the community (in addition to public hearings)? This may include individuals in care facilities, homeless older adults, and older refugees or immigrants who require special assistance in understanding or accessing services, and caregivers who would benefit from available services.
- Evaluating and adjusting services based on use and need?
- Note for consideration. Is the AAA following the progress of the 2-1-1 Central Information System and the impact it will have on providing information and assistance services? If a local 2-1-1 task force has been convened, has the AAA designated an individual to represent the needs of older adults and their caregivers?

Overview Needs Assessment, Targeting, and Identification of Priorities sections

Needs assessment, targeting, and the identification of priorities are essential and interrelated functions, which are difficult to address in isolation. For clarity, the following pages discuss these functions as distinct elements of the planning process in order to outline core content areas for inclusion in the Area Plan.

2. NEEDS ASSESSMENT

☐ Updates: Any new needs assessment activities planned for a subsequent year must be included in the annual Updates.

a. Purpose:

To clearly describe 1) the processes and methods used and 2) the results obtained by the AAA in gathering information for identifying needs and resources and for establishing priorities, goals, and objectives.

To provide an understanding of how AAAs are planning to meet the challenges of the increasingly growing and diverse aging population identified as "Baby Boomers." ³ See Appendix XII.

It is expected that the needs identified by the assessment will lead directly to the establishment of priorities, goals, and objectives. Identification of needs should be comprehensive, extending beyond those areas in which funds can be expended. Needs which are currently being satisfied with funds other than those provided through CDA must be considered as well.

The assessment methods must be drawn from those mentioned in PM 00-12 Needs Assessment Guidelines,4 and at a minimum, should lead to the collection of the information described in the core questionnaire. As a reminder, a description of targeted populations and their locations within the PSA is a REQUIRED element (See Targeting Part One Section B).

b. **Required Content:** &

CCR Article 2, Section 7300 (a): Prior to the development of an Area Plan, each AAA shall conduct a needs assessment of the PSA in order to identify the following: ⁵

- The target populations as defined in the OAA, OCA, and the CCR.
 - A description of past, present, and future efforts in the planning and service area that have been undertaken or are proposed to meet the challenges of the surge in the aging population, i.e., the "Baby Boomer" cohort. See Appendix XII

Planning for an Aging California Population: Preparing for the "Aging Baby Boomers," California Strategic Plan on Aging Advisory Committee, California State Assembly, May, 2004. PM 00-12 is available on the CDA website.

⁵ The Needs Assessment is to include the service issues and needs expressed and or identified by the "Boomer" population and their caregivers.

- The types and extent of existing and potential needs of older individuals in the PSA. (This includes information related to older adults with disabilities, older adults with severe disabilities, older adults with limited English-speaking abilities, older adults in rural areas, and the caregivers of those individuals).
- The services or resources existing within the PSA that are available for addressing the needs and constraints.
- A review of demographic data on older adults with greatest economic and social need with particular attention paid to low-income minorities, as well as caregivers of each target group.

The AAA's narrative responses to this section must specifically address the following questions to meet the "Required Content" listed above:

- 1. Needs Assessment Activities:
 - o Why were the method(s) used selected?
 - o What are the characteristics of the individuals responding?
 - o What steps were taken to assure broad-based representation?
 - How were the specific needs of targeted groups identified?
 - What method(s) are used to identify minimum percentages of Title III B funds to be expended for Priority Services - Access, In-Home Services, and Legal Assistance? (CCR Article 3, Section 7312(a)(1-3). (Also must complete Appendix V)
 - Did the methods vary from previous needs assessment(s)?
 - Were convergent methods used for this needs assessment?
- 2. Findings from the Needs Assessment:
 - o Were there major gaps in services uncovered by the needs assessment?
 - Do the identified needs reflect the current services provided?
 - Did the needs assessment identify any duplicated or underutilized services?

- What are the existing barriers to accessing current services, particularly for targeted groups?
- Did the needs assessment reveal any significant new findings?
- If convergent methods were used, did they yield similar or different results? How were the differences explained and/or resolved?
- What types of resources were identified? Are there any new resources not previously considered?

Preparing for the Increased Senior Population in 2006 and Beyond

The AAA is <u>required</u> to address the questions below. This section is intended to help generate ideas and discussions as the community addresses how it might need to change services and systems. Governing Boards, Advisory Councils, community leaders, and citizens are the logical leaders of these discussions. **Ideas generated as a result of the dialogue are to be included in Year-End Reports.**

- 1. How can we best integrate service systems for the elderly and adults with disabilities while, at the same time, acknowledging and responding to differences between these population groups? (Examples might include use of telemedicine, Internet technology, computer access for communication purposes, etc.)
- 2. Who are the key stakeholders whose commitment and partnership are essential? (Examples might include health care providers, education and training institutions, major employers, etc.)
- How can we assure we help empower individuals to remain as independent and engaged as possible for as long as possible? (Examples might include consumer surveys, customer friendly access to services, education, information sharing, etc.)
- 4. How can the arrangement of services be delivered to the consumer in a seamless, coordinated manner, regardless of program administration and jurisdiction? (Examples might include suggestions from consumers, stakeholders, program providers, program administrators, etc.)
- 5. What administrative hurdles and barriers to change need to be overcome at both the state and county/local level? (Examples might include an inability to "think outside the box," poor communication, lack of awareness, etc.)
- 6. How do we provide a leadership and advocacy role in the development of service system standards that are uniform and not dependent upon income? In other words, how do we avoid having separate (and unequal) systems of care for low,

moderate, and upper-income persons? (Examples might include using existing association organization meetings to review standards, consumer review, etc.)

7. How do we assure quality standards are maintained or developed across services regardless of the funding source and/or the service provider? (Examples may include consumer determination of quality, focused monitoring of service provision including consumers, testing new service delivery methods before finalizing standards, etc.)

3. TARGETING

■ <u>Updates</u>: Any change in the Required Content of this section must be included in the annual Updates.

a. Purpose:

To describe the targeting policies of the AAA to meet the needs of the populations the agency is entrusted to serve, as they relate to those established in the OAA, OCA, and regulations.

b. Required Content: &

- A review of the targeting priorities established in the OAA, Sections 307 and 373(c)(1).
- A brief description of target populations within the PSA, their characteristics, locations, needs, and methods that were used to identify them (see below).
- A listing of the AAA's targeting priorities as they relate to those in the CCR Article 3, Section 7310.
- A description of how the needs of target populations within the PSA will be addressed.
- A description of barriers to accessing existing services encountered by targeted groups.

Description of Target Populations:

Identified target populations (see OAA Section 102 for definitions) include individuals with the characteristics listed below, who are living in the community or in long-term care facilities:

1. Older individuals with greatest economic need, with particular attention to low-income minority individuals. The term "greatest economic need" means the need resulting from an income level at or below the federal poverty line.

- 2. Older individuals with greatest social need, with particular attention to low-income minority individuals. The term "greatest social need" means the need caused by non-economic factors, which include:
 - a. Physical and mental disabilities;
 - b. Language barriers; and
 - c. Cultural, social or geographical isolation⁶, including isolation caused by racial or ethnic status that: (1) restricts the ability of an individual to perform normal daily tasks or (2) threatens the capacity of the individual to live independently.
- 3. Older Native Americans.
- 4. Isolated, abused, neglected, and/or exploited older individuals.
- Frail older individuals.
- 6. Older individuals residing in rural areas.
- 7. Older individuals who are of limited English-speaking ability.
- 8. Older individuals with Alzheimer's disease or related disorders with neurological and organic brain dysfunction and their caregivers.
- 9. Older individuals with disabilities, with particular attention paid to individuals with severe disabilities.
- 10. Unemployed low-income individuals who are 55 years of age or older (Title V).
- 11. Caregivers as defined in Title III E, which includes older caregivers providing care and support to persons with developmental disabilities [OAA Section 373(c)(1) and (2)].

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The AAA's narrative responses to this section must specifically address the following questions to meet the "Required Content" listed above:

 What are the targeting priorities established in the OAA, OCA, and regulations?

⁶ The term **Rural** area as applied to Target Populations means "Territory, population and housing units not classified as urban. Rural classification cuts across other hierarchies and can be in metropolitan or non-metropolitan areas." US Census Bureau www.census.gov

- What means were used to identify the targeted populations in the PSA and what are their identified needs?
- Who are the AAA's target populations? What are their characteristics and where are they located?
- Are members of targeted populations represented on the Advisory Council?
- Are the services being offered to target groups proportionate to the 60-plus populations at large?
- Did the needs assessment identify any barriers preventing or hindering services to targeted populations? Barriers could be any one or more of the following:

 Information Geography Culture AttitudeBuilding Limited ResourcesHousing Adaptability o Language Location Accessibility

- What are the targeting priorities of the AAA and how do they relate to those established in the OAA and the CCR?
- What methods will be used to address the needs of target populations?
- What methods will be used to assure that preference is given to older individuals with greatest social and economic need with particular attention paid to low-income minority individuals?

d. Optional Questions Related to the Targeting Section:

Has the AAA identified special populations to assure their representation and participation in the needs assessment and targeting process? Some suggested outreach efforts include, but are not limited to:

- Individuals in long-term care facilities, e.g., skilled nursing facilities (SNF) and residential care for the elderly facilities (RCFE).
- Retirees, widows, and other individuals 60 and over who live alone and have experienced major lifestyle changes or who may be experiencing mental health challenges, which have resulted in difficulty maintaining social contacts.
- Individuals who reside in neighborhoods that may be drug infested and crime ridden. These individuals may be economically or physically unable to relocate and are at a greater risk of isolation and victimization.

- Communities without a safety net for older individuals. Safety net is defined as neighbors, family, friends, agency presence, etc. For example, in the 1995 Chicago Heat Wave a number of older adults were found dead behind locked doors and sealed windows, out of contact with family and friends, neighbors, and unassisted by public agencies or community groups⁷. How do we access like older individuals and determine what services they need to thrive?
- Associations that represent particular minority populations, including seniors in the gay and lesbian community, and individuals with language barriers.
- Organizations or agencies that coordinate services for immigrant and refugee groups.
- Homeless individuals and community groups that advocate for the homeless.
- Younger members of the "Baby Boomer" cohort (born between 1946 and 1964) who should be educated about healthy aging and encouraged to participate in the planning process to bring their unique perspective. See Appendix XII
- Caregivers of older individuals and those providing care in a grandparent capacity.

4. IDENTIFICATION OF PRIORITIES

- Impulsion : Any change in the Required Content section must be included in the annual Updates.

a. Purpose:

To establish priorities for the planning cycle and describe the factors which influence their establishment.

The established priorities should clearly derive from the needs assessment, adequate proportion requirements, targeting, and any other concerns outlined by the AAA. The manner in which an AAA will plan for increased or decreased resources should be clear from the discussion of priorities. Goals and objectives discussed in Part Two Section A of the Area Plan should clearly relate to the priorities established in this subsection.

b. Required Content: &

 A description of the AAA process for determining an "adequate proportion" of Title III B funds to be expended for Priority Services, which are identified as:

⁷ "Heat-Related Deaths during the July 1995 Heat Wave in Chicago", The New England Journal of Medicine. July 11, 1996.

Access, In-Home Services, and Legal Assistance, and described in the CCR Article 3, Section 7312 (a)(1-3). (Considerations must be documented in Appendix V.)

- A description of how the AAA will meet the targeting mandates as described in the CCR Article 3, Section 7310. And, where does this population fall in the overall setting of priorities?
- An identification of priorities for the planning cycle, particularly as they relate to the needs assessment and the other considerations listed above or in the CCR Article 3, Section 7310(a) and (b).
- A description of other factors which influence prioritization.

c. Questions:

The AAA's narrative responses to this section must specifically address the following questions to meet the "Required Content" listed above.

- How did the considerations for determining the minimum percentage of Title III B funds to be designated for Priority Services influence the priorities established by the AAA?
- In what manner do the targeting priorities described in the OAA and the CCR influence priorities established by the AAA?
- Do the priorities listed clearly reflect the results of the needs assessment conducted by the AAA?
- What other considerations influenced the priorities established by the AAA?
 Examples include:
 - Amount of available funds
 - Other possible sources of funding or other resources
 - Administrative changes
 - Anticipated increase or decrease in other services or funding
 - Local administrative or political considerations
 - Anticipated increase or decrease in other services or funding
 - Anticipated increase or decrease in eligible populations

- How does the AAA use its knowledge of all programs and services in the PSA to leverage and maximize resource utilization?
- In addition to the above, what types of advocacy activities and collaborations
 will the Governing Board, the AAA, and the Advisory Council develop to
 address priorities that cannot be adequately funded with existing federal and
 State budget allocations? This is the opportunity for the AAA to highlight
 innovative collaborations and accomplishments that maximize local resources
 and improve the service system.